

# INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)



Docket Number (Optional)

3001 P 013

Application Number

09/837510

**RECEIVED**

APR 03 2003

Applicant(s)

Kiron, et al.

**GROUP 3600**

Filing Date

April 18, 2001

Group Art Unit

2165

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

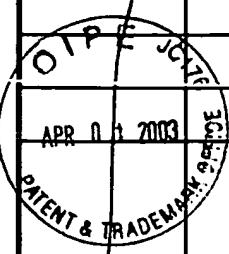
*EXAMINER INITIAL	REF	Title of the Item, Date, Pages, Volume/Issue Number, Publisher, City and/or Country Where Published
	001	Opinion and Order of U.S. District Judge Shira A. Scheindlin, dated February 4, 2003, in American Stock Exchange, LLC vs. Mopex, Inc., 00 Civ 5943 (SAS), granting Plaintiff's Motion for Summary Judgment.
	002	Application pursuant to Section 6(c) of The Investment Company Act of 1940 for an Order Granting Exemption From the Provisions of Sections 4(2) and 22(c) of the Act, and Rule 22c-1 thereunder, and for an Order Pursuant to Section 11(a) and 11(c) of the Act Approving the Exchange of Shares of an Open-End Management Investment Company for Units of a Unit Investment Trust, by the SuperTrust for Capital Market Fund, Inc. Shares, Capital Market Fund, Inc. and SuperShare Services Corporation (April 3, 1989).
	003	First Amended and Restated Application pursuant to Section 6(c) of the Investment Company Act of 1940 for an Order Granting Exemption from the Provisions of Sections 4(2), 18(f)(1) and (i), 22(c), Rule 22c-1 and for an Order pursuant to Sections 11(a) and 11(c) of the Act Approving the Exchange of Shares of an Open-End Management Investment Company for Units of a Unit Investment Trust, by the SuperTrust for Capital Market Fund, Inc. Shares, Capital Market Fund, Inc. and SuperShare Services Corporation (September 7, 1989).
	004	Second Amended and Restated Application pursuant to Section 6(c) of the Investment Company Act of 1940 for an Order Granting Exemption from the Provisions of Sections 4(2), 22(c), Rule 22c-1 thereunder, and 22(d) of the Act and for an Order pursuant to Sections 11(a) and 11(c) of the Act Approving the Exchange of Shares of an Open-End Management Investment Company for Units of a Unit Investment Trust, by the SuperTrust for Capital Market Fund, Inc. Shares, Capital Market Fund, Inc. and SuperShare Services Corporation (February 6, 1990).
	005	Third Amended and Restated Application pursuant to Section 6(c) of the Investment Company Act of 1940 for an Order Granting Exemption from the Provisions of Sections 4(2), 22(c), Rule 22c-1 thereunder, and 22(d) of the Act, and for an Order pursuant to Sections 11(a) and 11(c) of an Open-End Management Investment Company for Units of a Unit Investment Trust, by the SuperTrust for Capital Market Fund, Inc. Shares, Capital Market Fund, Inc. and SuperShare Services Corporation (April 2 1990).
	006	Fourth Amended and Restated Application pursuant to Section 6(c) of the Investment Company Act of 1940 for an Order Granting Exemption from the Provisions of Sections 4(2), 22(c), Rule 22c-1 thereunder, and 22(d) of the Act, and for an Order pursuant to Sections 11(a) and 11(c) of the Act Approving the Exchange of Shares of an Open-End Management Investment Company for Units of a Unit Investment Trust, by the SuperTrust for Capital Market Fund, Inc. Shares, Capital Market Fund, Inc. and SuperShare Services Corporation (July 3, 1990).

EXAMINER INITIAL	REF	Title of Item, Date, Pages, Volume/Issue Number, Publisher, and/or Country Where Published
C/P/E APR 0 1 2003 SECURITIES INVESTMENT & TRADING	007	Fifth Amended and Restated Application pursuant to Section 6(c) of the Investment Company Act of 1940 for an Order Granting Exemption from the Provisions of Sections 4(2), 22(c), Rule 22c-1 thereunder, and 22(d) of the Act, and for an Order pursuant to Sections 11(a) and 11(c) of the Act Approving the Exchange of Shares of an Open-End Management Investment Company for Units of a Unit Investment Trust, by the SuperTrust for Capital Market Fund, Inc. Shares, Capital Market Fund, Inc. and SuperShare Services Corporation (dated July 6, 1990).
	008	Notice of Application for Exemption under the Investment Company Act of 1940 by the SuperTrust Trust for Capital Market Fund, Inc., Inv. Co. Act Rel. No. IC-17613 (July 25, 1990).
	009	Order Denying a Hearing Request, Granting a Conditional Exemption Under Section 6(c) of the Act from Sections 4(2) and 22(d) of the Act and Rule 22c-1 thereunder, and Approving an Offer of Exchange Under Sections 11(a) and 11(c) of the Act, in the Matter of The SuperTrust Trust for Capital Market Fund, Inc. Shares, et al., Inv. Co. Act Rel. No. IC-17809 (October 19, 1990).
	010	SEC No-Action Letter re The SuperTrust Trust for Capital Market Fund, Inc. Shares (June 24, 1992), including the SuperTrust Trust for Capital Market Fund, Inc. Shares' No-Action Request (March 30, 1992).
	011	Prospectus, The SuperTrust Trust for Capital Market Fund, Inc., dated March 6, 1992.
	012	Registration Statement (Form N-1A) under the Investment Company Act of 1940, of Capital Market Fund, Inc. (March 6, 1992).
	013	Peter Tufano & Barbara B. Kyriillos, <i>Leland O'Brien Rubinstein Associates Incorporated: SuperTrust</i> , Harvard Business School case study 294-050 (June 6, 1994).
	014	Application for Orders Under section 6(c) of the Investment Company Act of 1940 exempting the SPIR Trust, Series I (and any additional and similar Series of the SPIR Trust), and SPIR Services Corporation, as Sponsor, from the Provisions of sections 4(2), 12(d)(3), 14(a), 22(c), 22(d) and 26(a)(2)(C) of said Act and from rules 12d3-1 and 22c-1 promulgated thereunder (June 26, 1990).
	015	First Amended and Restated Application for Orders Under section 6(c) of the Investment Company Act of 1940 exempting the SPIR Trust, Series I (and any additional and similar Series of the SPIR Trust), and SPIR Services Corporation, as Sponsor, from the Provisions of sections 4(2), 14(a), 22(d) and 26(a)(2)(C) of said Act and from rule 22c-1 promulgated thereunder (February 6, 1991).
	016	Second Amended and Restated Application for Orders Under section 6(c) of the Investment Company Act of 1940 exempting the SPDR Trust, Series I and PDR Services Corporation, as Sponsor, from the Provisions of sections 4(2), 14(a), 17(d), 22(d), 22(e), 24(d) and 26(a)(2)(C) of said Act and from rule 22c-1 promulgated thereunder and under section 17(b) exempting the Trust from the provisions of sections 17(a)(1) and 17(a)(2) of said Act (February 28, 1992).
	017	Third Amended and Restated Application for Orders Under section 6(c) of the Investment Company Act of 1940 exempting the SPDR Trust, Series I (and any additional and similar Series of the SPDR Trust), and PDR Services Corporation, as Sponsor, from the Provisions of sections 4(2), 14(a), 17(a)(1) and 17(a)(2), 22(d), 22(e), 24(d) and 26(a)(2)(C) of said Act and from rule 22c-1 promulgated thereunder and under section 17(b) exempting the Trust from the provisions of sections 17(a)(1) and 17(a)(2) of said Act and under rule 17d-1 from the provisions of section 17(d) (June 8, 1992).
	018	Fourth Amended and Restated Application for Orders Under section 6(c) of the Investment Company Act of 1940 exempting the SPDR Trust, Series I (and any additional and similar Series of the SPDR Trust), and PDR Services Corporation, as Sponsor, from the Provisions of sections 4(2), 14(a), 17(a)(1), 17(a)(2), 22(d), 22(e), 24(d) and 26(a)(2)(C) of said Act and from rule 22c-1 promulgated thereunder, under section 17(a)(1) and 17(a)(2) of said Act and under rule 17d-1 granting relief from the provisions of section 17(d) (August 7, 1992).
	019	Notice of Filing of Proposed Rule Change by the American Stock Exchange, Inc. Relating to Portfolio Depositary Receipts, Exchange Act Release No. 34-31039 (August 20, 1992).
	020	Order Approving Proposed Rule Change by the American Stock Exchange, Inc. Relating to Portfolio Depositary Receipts, Exchange Act Release No. 34-31591 (December 11, 1992).
	021	Notice of Application for Order under the Investment Company Act of 1940, by the SPDR Trust, Series 1, Rel. No. IC-18959 (September 23, 1992).
	022	In re The Matter of SPDR Trust, Series 1 PDR Services Corporation, Conditional Order under Sections 6(c) and 17(b) of the Act Exempting Applicants From Sections 4(2), 14(a), 17(a), 22(d), 22(e), 24(d), 26(a)(2)(C), and Rule 22c-1, and under Rule 17d-1 Permitting Applicants to Engage in Certain Affiliated Transactions Otherwise Prohibited by Section 17(d) and Rule 17d-1 (October 26, 1992).

RECEIVED

APR 0 3 2003



GROUP 3600

*EXAMINER INITIAL	REF	Title Item, Date, Pages, Volume/Issue Number, Publisher, City and/or Country Where Published
	023	Prospectus, Standard & Poor's Depository Receipts, SPDR Trust Series 1, dated January 22, 1993 (February 3, 1993).
	024	Prospectus, Standard & Poor's Depository Receipts, SPDR Trust Series 1, dated May 20, 1994.
	025	Nils H. Hakansson, <i>The Purchasing Power Fund: A New Kind of Financial Intermediary</i> , FIN. ANALYSTS J. 49 (Nov.-Dec. 1976).
	026	Nils H. Hakansson, <i>Welfare Aspects of Options and Supershares</i> , XXXIII No. 3 J. OF FIN. 759 (June 1978).
	027	Prospectus, Put and Call Options and Index Participations, by The Options Clearing Corporation, dated April 21, 1989.
	028	Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting The Germany EuroTrust Trust, Series 1 of The EuroTrust Trusts, EuroFund, Inc., Deutsche Bank Securities Corporation, as Adviser, and SuperShare Services Corporation, as Sponsor, from the provisions of Sections 4(2), 17(a)(1), 17(a)(2), 22(d), 24(d) and 26(a)(2)(C) of said Act and from Rule 22c-1 promulgated thereunder, under Section 17(b) exempting the Trust, the Fund, the Adviser and the Sponsor from the provisions of Sections 17(a)(1) and 17(a)(2) of the Act and for an Order pursuant to Sections 11(a) and 1.1(c) of the Act approving the exchange of shares of the initial series of the Fund for units of The Germany EuroTrust Trust, by The Germany EuroTrust Trust, Series 1 of the EuroTrust Trusts, EuroFund, Inc., Deutsche Bank Securities Corporation, as Adviser, and SuperShare Services Corporation, as Sponsor (August 19, 1994).
	029	Foreign Fund, Inc., Application for Orders under section 6(c) of the Investment Company Act of 1940 exempting applicant from the provisions of sections 2(a)(32), 5(a)(1), 17(a)(1) and 17(a)(2), 22(d) and 22(e), and rule 22c-1 thereunder, and under section 17(b) exempting applicant from sections 17(a)(1) and 17(a)(2) of such Act (September 19, 1994).
	030	Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting Foreign Fund, Inc. from the provisions of Section 2(a)(32), 5(a)(1), 17(a)(1) and 17(a)(2), 22(d) and 22(e) of said Act, and Rule 22c-1 promulgated thereunder, and under Section 17(b) exempting Foreign Fund, Inc. from the provisions of Sections 17(a)(1) and 17(a)(2) of said Act (September 19, 1994).
	031	Amendment No. 1 to the Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting Foreign Fund, Inc. from the provisions of Section 2(a)(32), 5(a)(1), 17(a)(1) and 17(a)(2), 22(d) and 22(e) of said Act, and Rule 22c-1 promulgated thereunder, and under Section 17(b) exempting Foreign Fund, Inc. from the provisions of Sections 17(a)(1) and 17(a)(2) of said Act (January 5, 1995).
	032	Barclays Global Fund Advisors and BGI Exchange Traded Fund and its Index Series - Application for an Order under Section 6(c) of the Investment Company Act of 1940 for an exemption from Sections 2(a)(32), 5(a)(1), and 22(d) and 22(e) of the Act and Rule 22c-1 under the Act and under Sections 6(c) and 17(b) of the Act for an exemption from Sections 17(a)(1) and (a)(2) of the Act (as filed with the SEC on April 30, 1999).
	033	Barclays Global Fund Advisors and BGI Exchange Traded Fund and its Index Series - Application for an Order under Section 6(c) of the Investment Company Act of 1940 for an exemption from Sections 2(a)(32), 5(a)(1), and 22(d) and 24(d) of the Act and Rule 22c-1 under the Act and under Sections 6(c) and 17(b) of the Act for an exemption from Sections 17(a)(1) and (a)(2) of the Act (as filed with the SEC on April 30, 1999).
	034	In the matter of Foreign Fund, Inc. and BZW Barclays Global Fund Advisors, File No. 812-10334; Application for an Order of Exemption under Section 17(d) of the Investment Company Act of 1940 (the "1940 Act") and Rule 17d-1(a) thereunder pursuant to Rule 17d-1(b) under the 1940 Act (as received by the SEC on September 13, 1996).
	035	In the matter of Web Index Fund, Inc. and Barclays Global Fund Advisors, File No. 812-10334; Amendment No. 2 to the Application for an Order of Exemption under Section 17(d) of the Investment Company Act of 1940 (the "1940 Act") and Rule 17d-1(a) thereunder pursuant to Rule 17d-1(b) under the 1940 Act (March 10, 1997).
	036	Amendment No. 4 to the Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting Foreign Fund, Inc. from the provisions of Sections 2(a)(32), 5(a)(1), 17(a)(1) and 17(a)(2), 22(d) and 22(e) of said Act, and Rule 22c-1 promulgated thereunder, and under Section 17(b) exempting Foreign Fund, Inc. from the provisions of Sections 17(a)(1) and 17(a)(2) of said Act (as received by the SEC on February 20, 1996).
	037	Gastineau, Gary L., <i>"An Introduction to Exchange-Traded Funds (ETFs)"</i> , Nuveen Investments; February 8, 2001, pp. 1-12.
	038	Application for Orders under Section 6(c) of the Investment Company Act of 1940, as amended, exempting WEBS Index Fund, Inc. from the provisions of Sections 2(a)(32), 5(a)(1), 17(a)(1) and 17(a)(2), 22(d) and 22(e) of said Act, and Rule 22c-1 promulgated thereunder, and under Section 17(b) exempting WEBS Index Fund, Inc. from the provisions of Sections 17(a)(1) and 17(a)(2) of said Act (as received by the SEC on August 14, 1997).

RECEIVED

APR 03 2003

GROUP 3600

*EXAMINER* INITIAL	REF	Title of Item, Date, Pages, Volume/Issue Number, Publisher, Country and/or Country Where Published
	039	Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting The Germany EuroTrust Trust, Series 1 of The EuroTrust Trusts, EuroFund, Inc., Deutsche Bank Securities Corporation, as Adviser, and SuperShare Services Corporation, as Sponsor, from the provisions of Sections 4(2), 17(a)(1), 17(a)(2), 22(d), 24(d) and 26(a)(2)(C) of said Act and from Rule 22c-1 promulgated thereunder, under Section 17(b) exempting the Trust, the Fund, the Adviser and the Sponsor from the provisions of Sections 17(a)(1) and 17(a)(2) of the Act and for an Order pursuant to Sections 11(a) and 11(c) of the Act approving the exchange of shares of the initial series of the Fund for units of The Germany EuroTrust Trust (as received by the SEC on August 19, 1994).
	040	First Amended and Restated Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting The EuroTrust Trust, its initial two Series, The Germany EuroTrust Trust and The UK EuroTrust Trust, EuroFund, Inc., Deutsche Bank Securities Corporation, as Adviser, and SuperShare Services Corporation, as Sponsor, from the provisions of Sections 4(2), 17(a)(1), 17(a)(2), 22(d) and 26(a)(2)(C) of said Act and from Rule 22c-1 promulgated thereunder, under Section 17(b) exempting the Trusts, the Fund, the Adviser and the Sponsor from the provisions of Sections 17(a)(1) and 17(a)(2) of the Act and for an Order pursuant to Sections 11(a) and 11(c) of the Act approving the exchange of shares of the series of the Fund for units of the Trusts (as received by the SEC on October 28, 1994).
	041	Second Amended and Restated Application for Orders (i) under Section 6(c) of the Investment Company Act of 1940 exempting, as the case may be, The EuroTrust Trust, its initial two trusts, The Germany EuroTrust Trust and The UK EuroTrust Trust, EuroFund, Inc. and its initial two Series, the German Index Series and the UK Index Series; Deutsche Bank Securities Corporation, as Adviser, and SuperShare Services Corporation, as Sponsor, from the provisions of Sections 2(a)(32), 4(2), 5(a)(1), 17(a)(1), 17(a)(2), 22(d), 22(e) and 26(a)(2)(C) of said Act and from Rule 22c-1 promulgated thereunder; (ii) pursuant to Sections 11(a) and 11(c) of the Act approving the exchange of shares of the Fund for units of the Trusts; and (iii) under Section 17(b) exempting the Trusts, the Fund, the Adviser and the Sponsor from the provisions of Sections 17(a)(1) and 17(a)(2) of the Act and (as received by the SEC on November 30, 1994).
	042	SEC Form N-1A, Registration Statement Under the Securities Act of 1933, Pre-Effective Amendment No. 1, and Registration Statement under the Investment Company Act of 1940, Amendment No. 1, of Foreign Fund, Inc. (as filed with the SEC on December 14, 1995).
	043	SEC Form N-1A, Registration Statement Under the Securities Act of 1933, Pre-Effective Amendment No. 1, and Registration Statement under the Investment Company Act of 1940, Amendment No. 1, of Foreign Fund, Inc. (as filed with the SEC on December 14, 1995) (Marked to Show Changes).
	044	SEC Form N-1A, Registration Statement Under the Securities Act of 1933, Pre-Effective Amendment No. 3, and Registration Statement under the Investment Company Act of 1940, Amendment No. 3, of Foreign Fund, Inc. (as filed with the SEC on March 6, 1996).
	045	American Stock Exchange, Stock Index Options, Proposed Contract Specifications, S&P MidCap Index Options, December 2, 1991.
	046	Standard & Poor's Depositary Receipts™, <i>SPDR™ User's Guide</i> , PDR Services Corporation, January, 1993.
	047	Amendment No. 1 to the Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting the MidCap SPDR Trust, Series 1 and PDR Services Corporation, as Sponsor, from the provisions of Sections 4(2), 14(a), 17(a)(1), 17(a)(2), 22(d), 22(e), 24(d) and 26(a)(2)(C) of said Act and from Rule 22c-1 promulgated thereunder, under Section 17(b) exempting the Sponsor and the Trust from the provisions of Sections 17(a)(1) and 17(a)(2) of said Act and under Rule 17d-1 granting relief from the provisions of Section 17(d) and Rule 17d-1 (executed July 13, 1994).
	048	American Stock Exchange, Stock Index Options, Contract Specification, S&P MidCap Index Options, January 23, 1992.
	049	Information Circular to Members and Member Organizations, Senior and Compliance Registered Options Principals, and Registered Options Principals from Howard A. Baker, Senior Vice President, AMEX Derivative Securities, announcing a new listing: Standard & Poor's MidCap 400 Depositary Receipts™ with trading to begin on May 4, 1995. Dated: April 28, 1995.
	050	Standard & Poor's Depositary Receipts ("SPDR") Trust Series 1 and Any Subsequent and Similar Series of the SPDR Trust, Standard Terms and Conditions of Trust, dated as of January 1, 1993 between PDR Services Corporation, as Sponsor, and State Street Bank and Trust Company, as Trustee, effective January 22, 1993.
	051	Prospectus: Toronto 35 Index Participation Units dated November 20, 1989.
	052	Gastineau, Gary, "Exchange-Traded vs. OTC Derivatives Markets," <u>Financial Derivatives and Risk Management</u> , Issue Three, November, 1995.

RECEIVED  
APR 03 2003

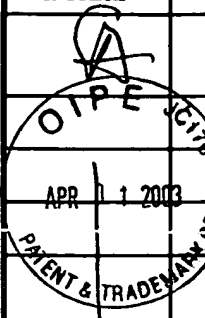
*EXAMINER* INITIAL	REF	Title of Item, Date, Pages, Volume/Issue Number, Publisher, City and/or Country Where Published
	053	Section 7, Special Article: "Minimizing Cash Drag With S&P 500 Index Tools" by Goldman Sachs.
	054	Standard & Poor's Depositary Receipts, "SPDR User's Guide," PDR Services Corporation, 1993.
	055	<u>The Future of Exchange Traded Funds, An Emerging Alternative to Mutual Funds</u> , Financial Research Corporation, May 31, 2000.
	056	Gastineau, Gary L., "A Short History of Program Trading," <u>Financial Analysts Journal</u> , September-October, 1991, pp. 4-7.
	057	Angel, James J., et al, "Comparison of Two Low-Cost S&P 500 Index Funds," reprinted from <i>Derivatives Quarterly</i> , Spring, 1996.
	058	Gastineau, Gary L., et al., "Exchange-Traded Equity Funds--Genesis, Growth, and Outlook, pp. 121-141.
	059	Product Description for Standard & Poor's Depositary Receipts--SPDRs®, pp. 1-4.
	060	Standard & Poor's Depositary Receipts, "SPDR™ Traded on the American Stock Exchange, Ticker Symbol SPY," PDR Services Corporation, 1993, and "The SPDR™ Report," August, 1994.
	061	"Main Marketing Message About SPDRs," Educational Material.
	062	Standard & Poor's Depositary Receipts, Specifications, Symbol: SPY, American Stock Exchange, May 16, 1994.
	063	Standard and Poor's Depositary Receipts™ ("SPDRs")™, SPDR Trust Series 1, A Unit Investment Trust, Annual Report, December 31, 1994.
	064	Standard and Poor's Depositary Receipts™ ("SPDRs")™, SPDR Trust Series 1, A Unit Investment Trust, Annual Report, December 31, 1995.
	065	Telefacsimile Transmission from James Curtis, Division of Investment Management, U.S. Securities and Exchange Commission, to Paul J. McElroy, Sullivan & Cromwell, forwarding the Notice of Application for Exemption Under the Investment Company Act of 1940, of Foreign Fund, Inc., BZW Barclays Global Fund Advisors and Funds Distributor, Inc., dated February 7, 1996.
	066	Order of the U.S. Securities and Exchange Commission, dated March 5, 1996, granting the application for exemption under the Investment Company Act of 1940 of Foreign Fund, Inc., BZW Barclays Global Fund Advisors and Funds Distributor, Inc.
	067	Letter dated October 17, 1995, from Kevin C. Rupert, Accountant, U.S. Securities and Exchange Commission, to Paul J. McElroy, Sullivan & Cromwell, regarding Foreign Fund, Inc., and containing comments on the registration statement on Form N-1A filed on behalf of Foreign Fund, Inc.
	068	Letter dated December 14, 1995, from Paul J. McElroy, Sullivan & Cromwell, to Kevin C. Rupert, Accountant, U.S. Securities and Exchange Commission, regarding comments made by K. Rupert in his letter of October 17, 1995, and regarding the filing of a Pre-Effective Amendment No. 1 to the Fund's Registration Statement on Form N-1A.
	069	Form N-1A, Pre-Effective Amendment No. 3, filed by Foreign Fund, Inc. on March 5, 1996, with the U.S. Securities and Exchange Commission.
	070	Exhibits to Form S-6, Pre-Effective Amendment No. 3 to Registration Statement of The Supertrust Trust for Capital Market Fund, Inc. Shares.
	071	Brochure: SuperTrust, Subscription Period, 1992.
	072	"Introduction to The SuperTrust," SSC Distribution Services, Inc., 1991.
	073	"The SuperTrust Summary Graphics," SSC Distribution Services, Inc., 1991.
	074	Form N-1A, Post-Effective Amendment No. 3 and Registration Statement Under the Investment Company Act of 1940, Amendment No. 7, of Capital Market Fund, Inc., as filed with the SEC on March 1, 1993.
	075	<u>IDD (Investment Dealers Digest)</u> , November 30, 1992, pp. 1-50.
	076	<u>Federal Register</u> , Notices, Vol. 55, No. 114, Wednesday, June 13, 1990, pp. 24016-24018.

RECEIVED

APR 03 2003

Sheet 5 of 7

GROUP 3600

EXAMINER INITIAL	REF	Title, Item, Date, Pages, Volume/Issue Number, Publisher, City and/or Country Where Published
	077	"Distributor of SuperTrust Shares Seeks No-Action Position," <u>The SEC Today</u> , Wednesday July 1, 1992, Vol. 92-127, pp. 1-2.
	078	"The SuperTrust Subscription Period," SSC Distribution Services, Inc., June, 1992, pp. 1-8.
	079	Brochure for MidCap SPDRs--Standard & Poor's MidCap 400 Depositary Receipts.
	080	Advertisement for MidCap SPDR, Standard & Poor's MidCap 400 Depositary Receipts.
	081	American Stock Exchange News Release, April 21, 1995, "Joel Lovett Elected to Sixth Year as Vice Chairman of AMEX's Board of Governors".
	082	Newspaper Articles: Kristof, Kathy M., "Add 'Spiders' to Growing Web of Investment," <u>Los Angeles Times</u> , August 25, 1995; Metz, Robert, "Spinning Profits Using SPDRs," <u>Houston Chronicle</u> , August 2, 1995; Metz, Robert, "Snare Profits in Your Web With SPDRs," <u>Tulsa World</u> , August 6, 1995.
	083	SEC Docket, Volume 58, No. 10, pp. 1707-1708 (January 18, 1995).
	084	<u>Federal Register</u> , Notices, Vol. 59, No. 248, Wednesday, December 28, 1994, 66982-66985.
	085	Cochran, Thomas N., "The Striking Price."
	086	Capital Market Fund, Inc. Annual Report, October 31, 1994, pp. 1-16.
	087	Prospectus: The SuperTrust™ Trust for Capital Market Fund, Inc. Shares, February 28, 1995.
	088	Prospectus: Capital Market Fund, Inc., February 28, 1995.
	089	The SuperTrust™ Trust for Capital Market Fund, Inc. Shares, Annual Report, October 31, 1994.
	090	Capital Market Fund, Inc., Annual Report, October 31, 1994.
	091	SCC SuperUnits™, Proposed Specifications, American Stock Exchange, March 16, 1992.
	092	"Equity Derivatives - Applications in Corporate Finance and Fund Management," CIBC Wood Gundy School of Financial Products.
	093	MidCap SPDR Trust, Series 1 and PDR Services Corporation, Amendment No. 1 to Application for Orders under section 6(c) of the Investment Company Act of 1940 exempting the MidCap SPDR Trust, Series 1 and PDR Services Corporation, as Sponsor, from the provisions of sections 4(2), 14(a), 17(a)(1), 17(a)(2), 22(d), 22(e), 24(d) and 26(a)(2)(C) of said Act and from rule 22c-1 promulgated thereunder, under section 17(b) exempting the Sponsor and the Trust from the provisions of sections 17(a)(1) and 17(a)(2) of said Act and under rule 17d-1 granting relief from the provisions of section 17(d) and rule 17d-1 (January 13, 1994).
	094	SEC Docket, Volume 58, No. 20, pp. 2765-2772 (March 24, 1995).
	095	In the Matter of MidCap SPDR Trust, Series 1, File No. 1-13730, Order Declaring Registration Effective Pursuant to Section 12(d) of the Securities Exchange Act of 1934, as Amended, U.S. Securities and Exchange Commission, April 27, 1995.
	096	In the Matter of PDR Services Corporation, Sponsor of MidCap SPDR Trust, Series 1, Order Pursuant to Section 8(a) of the Securities Act of 1933 as Amended, Declaring the Registration Statement Effective, U.S. Securities and Exchange Commission, April 27, 1995.
	097	Brochure: Standard & Poor's MidCap 400 Depositary Receipts, Product Description, PDR Services Corporation, 1995.
	098	<u>Federal Register</u> , Notices, Vol. 60, No. 62, Friday, March 31, 1995, 16686-16690.
	099	Brochure: Standard & Poor's MidCap 400 Depositary Receipts™, 400 Stocks, One Easy Investment, PDR Services, 1995.
	100	American Stock Exchange Home Page; The American Stock Exchange, 1995.
	101	American Stock Exchange News Release, April 27, 1995, "MidCap 400 'Spiders' to Spin Their Own Web at the AMEX".
	102	Expert Report of C. Michael Carty dated April 5, 2002.
CA	103	Rebuttal Report of C. Michael Carty dated May 10, 2002.

RECEIVED

APR 03 2003

GROUP 3600

EXAMINER INITIAL	REF	Title, Item, Date, Pages, Volume/Issue Number, Publisher, City and/or Country Where Published
	104	Fifth Amended and Restated Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting The CountryBaskets™ Index Fund, Inc. and its initial nine Series named herein the Advisor and the Distributor from the provisions of Sections 2(a)(32), 5(a)(1), 17(a)(1), 17(a)(2), 22(d) and 22(e) of said Act, and from Rule 22c-1 promulgated thereunder, and under Section 17(b) from the provisions of Sections 17(a)(1) and 17(a)(2) of the Act, dated June 26, 1995.
	105	Affidavit of Clifford J. Weber, dated August 30, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	106	Supplemental Affidavit of Clifford J. Weber, dated October 10, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	107	Expert Witness Report of Clifford J. Weber, dated April 2, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	108	Expert Report of Kathryn B. McGrath, dated April 3, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	109	Rebuttal Expert Report of Kathryn B. McGrath, dated May 17, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	110	Expert Report of Harry F. Manbeck, Jr., dated April 5, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	111	Rebuttal Expert Report of Harry F. Manbeck, Jr., dated May 7, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	112	Expert Report of Donald Banner, dated May 14, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	113	Expert Witness Report of Gary L. Gastineau, dated March 28, 2002, filed in American Stock Exchange, LLC vs. Mopex, Inc., Civil Action No. 00 Civ. 5943(SAS)(MHD).
	114	Application for Orders under Section 6(c) of the Investment Company Act of 1940 exempting Foreign Fund, Inc. from the provisions of Sections 2(a)(32), 5(a)(1), 17(a)(1) and 17(a)(2), 22(d) and 22(e) of said Act, and Rule 22c-1 promulgated thereunder, and under Section 17(b) exempting Foreign Fund, Inc. from the provisions of Sections 17(a)(1) and 17(a)(2) of said Act, dated September 15, 1994.
	115	Amendment No. 2 to the Application for an Order of Exemption Under Section 17(d) of the Investment Company Act of 1940 (The "1940 Act") and Rule 17d-1(a) Thereunder Pursuant to Rule 17d-1(b) Under the 1940 Act, in the matter of Webs Index Fund, Inc. and Barclays Global Fund Advisors, dated March 14, 1997.
EXAMINER	DATE CONSIDERED	
		4/03
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.		

FORM PTO-A820  
(also form PTO-1449)  
(166199.1)

RECEIVED  
APR 03 2003  
GROUP 3600